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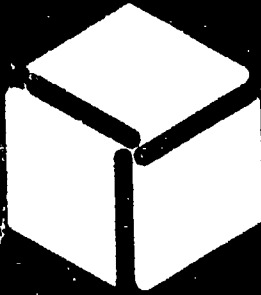
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ABSTRACT

The process of revising the National Center for Higher Education Management Systems (NCHEMS) Program Classification Structure (PCS) is now completed. This document is being distributed to inform NCHEMS constituents about the final revisions to the PCS and to describe the reasons why each revision was made. The revision process began in early 1974 when a large cross-section of NCHEMS participating institutions and agencies were asked to suggest changes they felt should be made in the PCS. In general, revisions were made: (1) to accommodate the unique needs of those postsecondary education institutions not adequately served by the current PCS. (2) to include activity centers needed for program planning and analysis but missing the current edition of the PCS. (3) to restructure the PCS where needed, and where feasible, to make it a better programmatic structure and to improve the feasibility of implementation. The rationale for each change is described not only to provide the reader with an understanding of why the change was made but also to help the reader in the effective use of the category for program planning and management. (Author/PG)



National Center for Higher Education Management Systems at WICHE

A DISCUSSION OF THE REVISED PROGRAM CLASSIFICATION STRUCTURE

Doug Collier

February 1975

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INTRODUCTION

The process of revising the NCHEMS Program Classification Structure (PCS) is now completed. This document is being distributed to inform NCHEMS constituents about the final revisions to the PCS and to describe the reasons why each revision was made. A technical report designed to replace Technical Report 27 (Program Classification Structure: Gulko, 1972) will be distributed in late 1975. In the meantime it is suggested that users desiring more information about the specifics of the revised PCS consult the document Information Exchange Procedures: Activity Structure (NCHEMS Technical Report 63). The definitions and examples outlined in Technical Report 63 represent the revised PCS at the subprogram level. The final revised PCS document will be identical to Technical Report 63 at the subprogram level but will also include more detail at lower levels of aggregation. While the activity structure described in Technical Report 63 includes a few categories unique to the Information Exchange Procedures project (e.g., "Cost of Purchases for Resale"), these unique categories are noted so as to eliminate confusion with the PCS subprograms.

Revision Process

The revision process began in early 1974 when a large cross-section of NCHEMS participating institutions and agencies were asked to suggest changes they felt should be made in the PCS. These suggestions were collected and described

in the document, "Revision of the Program Classification Structure" (Collier, Young: September, 1974). This document described the suggestions for change, a set of criteria for revising the PCS, a set of staff recommendations, and a discussion of the rationale behind each staff recommendation. This document was distributed to the NCHEMS constituency for their review and comment and was also the subject of discussion and review at the Participants Advisory Assembly and the National Advisory Panel meetings (both held in November 1974).

Recommendations for Revision - Divergent Philosophies

The announcement that the PCS was to be revised understandably surfaced divergent philosophies about how it should be changed. Although the recommendations themselves were quite specific and, in almost all cases, within the general limits established for the revision process, they revealed two quite divergent philosophies about what the final product should look like.

Many of the recommendations that were received reflected the "operational data" philosophy. "Operational data" is defined as those data generated in the normal course of day-to-day operations of the institution. Examples might include student registration data, faculty assignment data, general ledgers, and expenditure ledgers. Advocates of the operational data philosophy believe that a revision of the PCS should be undertaken to elimin-

ate, wherever possible, the crossover problems encountered in getting operational data into the PCS format. Although this goal probably is one that everyone agrees with, the problem occurs when one attempts to specify exactly what is meant by "wherever possible." Advocates of the operational data philosophy argued that the PCS and whatever structure is used to collect and maintain operational data should be identical unless there is a very strong reason why that is impossible.

A second philosophy for the revision of the PCS was quite apparent in many of the recommendations that were received. This philosophy assumed that the PCS represents programmatic structuring of activities for purposes of program analysis and planning. Advocates of this philosophy believe that the developers of the initial version of the PCS were kept from making the structure a purely programmatic categorization of activities by the many problems associated with feasibly implementing a pure structure at that time. They pointed out that the "state of the art" in collecting and reporting program data has increased significantly in the last three to four years. Therefore, they felt that the current revision should move toward making the PCS a purer program structure than that initially developed because many of the feasibility constraints no longer exist. Proponents of the programmatic philosophy advocated the "purification" of the PCS to eliminate categories that were created in the conformance with the way operational data are collected and maintained. They viewed the PCS as the ultimate tool for program analysis and suggested that it should differ from the transactional data structures almost

by definition. They saw crossovers as a necessary part of analysis and, therefore, viewed their elimination as the elimination of valuable information.

Criteria Used for Revision

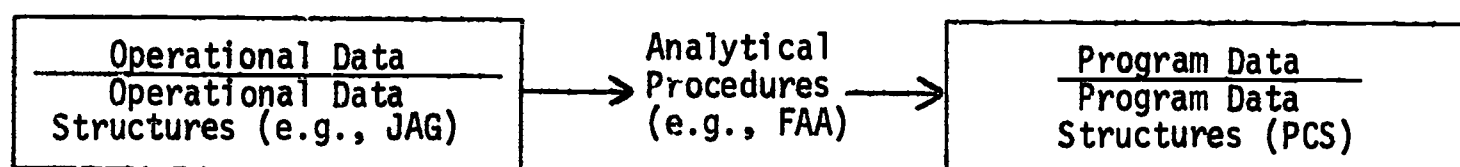
In light of these two divergent philosophies, a set of criteria for revising the PCS were developed and used in determining those changes that would be made. These criteria were acceptable to the Participants Advisory Assembly and the National Advisory Panel. These criteria were defined in the following way:*

"The PCS originally was developed as a tool for program planning and analysis and subsequently has been used increasingly as a program budgeting tool. It is essential that the PCS's usefulness as a program planning and analysis tool be maintained. Therefore, any revisions that might be made in the PCS should add to, not detract from, its value as a tool for program planning and analysis. It is quite obvious that, given this philosophy, "crossovers" never will be totally eliminated because institutions probably can't be organized so that operational data are perfectly synonymous with program data. However, crossovers can be simplified considerably if operational data can be collected, as much as possible, along program lines and if program structures can be designed so that "matches" exist between program data and operational data. Since the printing of the first

*Revision of the Program Classification Structure, Collier, Young. 1974

edition of the PCS, tremendous strides have been made in bringing operational data structures closer to program structures (for example, the Joint Accounting Group's data operational expenditure structure). Therefore, identifying those matches where operational data can be moved easily into a program structure would be a feasible task.

The diagram shown below illustrates the role the PCS should play in operational data collection and program data analysis.



This diagram points to the role the PCS should play as a structure for programmatically displaying analytical data. It also points out that analytical data and operational data are, by definition, different. Operational data are collected on an ongoing basis for the institution's operations (such as the accounting system or a student data system). Analytical data usually are obtained after certain analytical procedures are performed on the transactional data (for example, a faculty activity analysis can be used to further explain resources consumed in various academic departments). While the PCS often is used to display operational data, it also should be viewed as the primary format for the display of program data obtained through the use of analytical procedures.

In general, revisions were made:

1. To accommodate the unique needs of those postsecondary education institutions not adequately served by the current PCS.
2. To include activity centers needed for program planning and analysis but missing in the current edition of the PCS.
3. To restructure the PCS where needed, and where feasible, to make it a better programmatic structure and to improve the feasibility of implementation.

Results of the Revision

The results of the review of the PCS Revision document, along with the input of the Participants Advisory Assembly and the National Advisory Panel, were considered by the NCHEMS Board of Directors at their November 1974 and January 1975 meetings. On the basis of the first meeting of the Board, an NCHEMS newsletter was distributed in December 1974 outlining the revisions in the PCS. With one exception, the Board reconfirmed their support for the revisions described in that newsletter at their January meeting. These final revisions, along with the rationale for adopting each change, are documented in the following pages.

The one exception to the text of the December newsletter concerned the classification of departmental research and the faculty's scholarly activities. The newsletter described a subprogram in the Instruction program called "Departmental Research/Scholarly Activities." In January, however, it was decided that an alternative procedure for classifying departmental research and scholarly activities resulted in a better programmatic representation of those activities. The alternative procedure (which has been adopted for the revised PCS) creates a subprogram within the Academic Support program called "Academic Personnel Development." This subprogram will include those activities carried out to provide academic personnel with opportunities for increasing their personal and professional growth and development. Under this definition a certain portion of both "scholarly activities" and "departmental research" might conceivably be classified in this subprogram.

Departmental research, which includes informal research activities conducted by individual faculty members and supported by the general funds of the institution, will be treated somewhat differently. Departmental research is generally perceived as contributing to one or more of the academic programs: instruction, research, public service, or academic personnel development. As such, each institution, or each academic department within the institution will need to make a determination as to the primary intent of its faculty's departmental research activities.

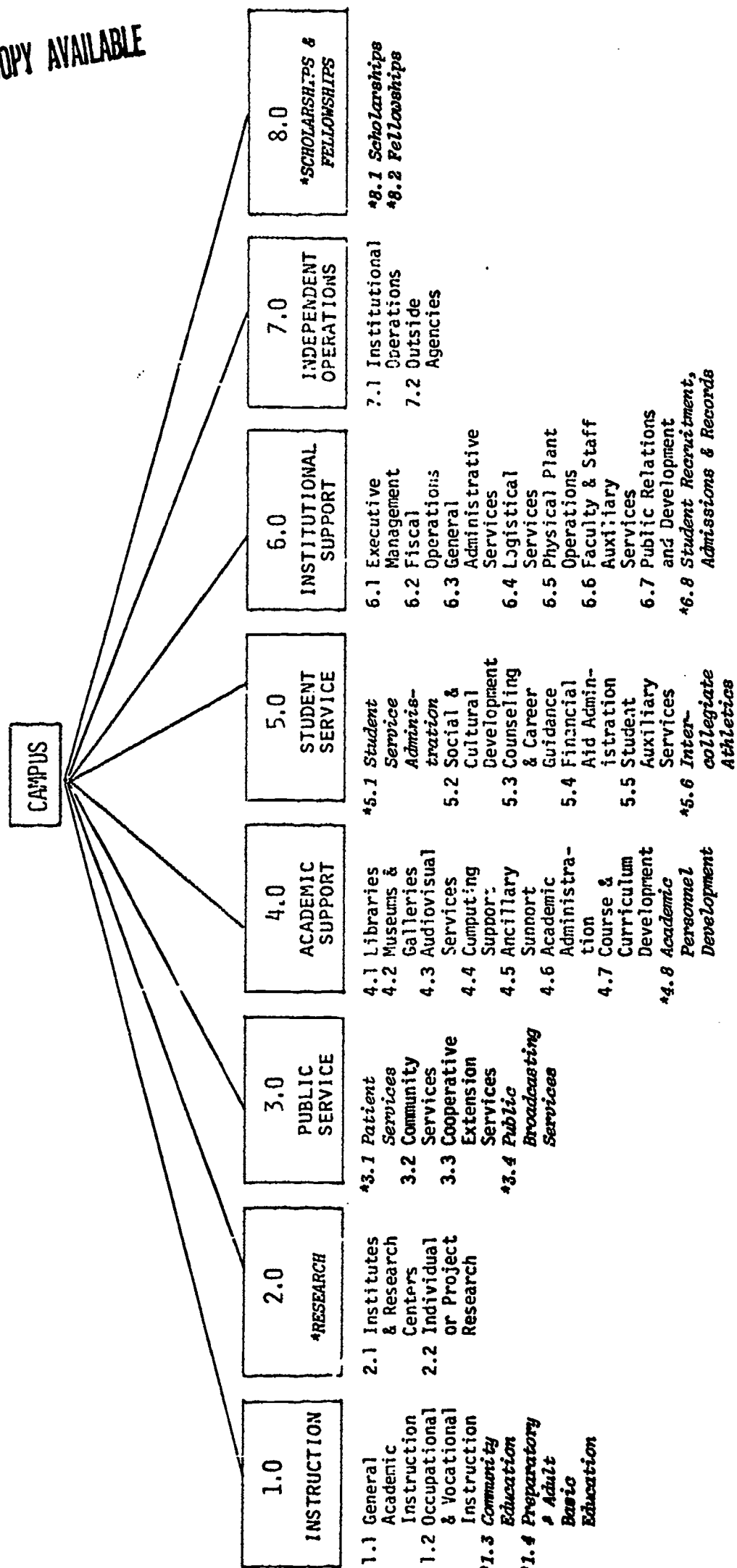
REVISIONS TO THE PCS

This section describes the revisions to the Program Classification Structure that have been adopted by the NCHEMS Board of Directors. Each change is noted under the major PCS program to which it relates. Where the change involves an addition to the PCS, examples of activities that would be classified under the new category are listed. Finally the rationale behind each change is described not only to provide the reader with an understanding of why the change was made but also to help the reader in the effective use of the category for program planning and management.

January 1975

REVISED
PROGRAM CLASSIFICATION STRUCTURE

BEST COPY AVAILABLE

**Italics denote revisions to the PCS*

INSTRUCTION PROGRAM:

Realign Subprogram: Community Education (1.3)

Definition: Includes those instructional activities that are noncredit and are therefore not applicable towards a postsecondary degree or certificate. These instructional activities may be offered both on or off campus and may be taken by either matriculated students or members of the general community. Any work that produces credit toward the high school diploma should be included in 1.4, Preparatory and Adult Basic Education.

Examples: Avocational Education (such as wine tasting, weaving, guitar)

Adult Education

Professional Review Courses

Refresher Courses

Rationale for Change: At the time the first edition of the PCS was being developed, the trend toward broad based community education (both for credit and not for credit) was not as pronounced as it is today. Furthermore, the traditional higher education sector philosophically viewed its objectives relative to students involved in the community education program. For example, the original PCS states that the Public Service Program has, as its objective, "to provide services that are beneficial to groups external to the institution through public service program elements which are established to make available to the public various unique resources and capabilities of higher

education." In contrast, the instruction program, by implication, contains students who are internal to the institution and who have explicit formal-degree, certificate, or award objectives.

With the increased popularity of community education courses and the movement of higher education toward satisfying the instructional needs of a broader community of learners, this external/internal distinction has become blurred--not only philosophically, but also in terms of attempting to make practical distinctions between that which is called Instruction and that which is called Community Education (and therefore Public Service in the original PCS).

The original PCS distinction between instruction (for credit) and community education also has created the potential for a very real political problem. Planners and managers of publicly funded institutions are concerned that state funding sources some day will limit the state's contribution to the institution's budget to only what the PCS classifies as Instruction. This already is true in many states where budgets are generated through student, or student credit hour, driven formulas.

Because "Instruction" now has a broader meaning than originally was spelled out in the PCS, the Community Education subprogram has been realigned to make it part of Instruction. This brings the PCS into philosophical, political, and pragmatic alignment with the current realities of postsecondary education.

A second aspect of the realignment of community education also reflects a revision in the PCS. In the first edition of the PCS, courses were classified as either credit or noncredit on the basis of the objectives of the students enrolled in the course (i.e. if the students are taking the course for credit it should be classified as a for-credit course, and vice versa). The problem arises when classifying a course being taken mostly by nonmatriculated, but also being taken by a number of matriculated students for credit as well. Therefore in order to resolve implementation dilemmas of this sort, the revised PCS focuses on the course content rather than the students enrolled. Those courses that are not available for credit toward a postsecondary degree are classified in Community Education (1.3). Although in certain cases some form of "quasi-credit" may be given for Community Education courses, this quasi-credit cannot count toward the attainment of a degree from the institution. Those courses that are available for credit toward a postsecondary degree at that institution are classified under General Academic Instruction (1.1), Occupational and Vocational Instruction (1.2), or Preparatory and Adult Basic Education (1.4).

INSTRUCTION PROGRAM:

Create Subprogram: Preparatory and Adult Basic Education (1.4)

Definition: Includes those instructional activities intended to give students the basic knowledge and skills they need in preparation for formal academic course work leading to a postsecondary degree or certificate. Also included are those instructional activities that must be taken prior to beginning work on a postsecondary degree or certificate in order to fulfill a standard requirement (such as high school completion). These activities, supplemental to the normal academic program, generally are termed remedial, developmental, or special educational services.

Examples: Adult Basic Education

Compensatory Education

Doctoral Language Requirement Courses

English for Foreign Students

General Educational Development (GED)

High School Completion

Manpower Development Training (MDTA)

Reading--Study Skills

Remedial Instruction

Speed Reading

Tutorial Workshops

Rationale for Change: In the first edition of the PCS, a subprogram called "Supplementary Educational Services (5.2)" is included in the Student Service program. This subprogram was used to classify those activities established to provide matriculated students with supplemental instruction outside of the normal academic program. Generally the activities classified in this subprogram provided remedial instruction as contrasted to instructional activities that are a part of the degree curriculum.

An almost unanimous recommendation of respondents to the PCS revision was that "Supplementary Educational Services" be realigned into the Instruction program. The consensus is that Supplementary Educational Services are properly a part of the instructional mission of most junior and community colleges, and, indeed, a very large part of the instructional activities of community colleges is directed toward adult basic education. It was also pointed out in the PCS revision that "Supplementary Educational Services" and "Adult Basic Education" are quite similar programmatically (especially those aspects that are "preparatory" in nature). Therefore it was agreed that a subprogram should be created in the Instruction program called "Preparatory and Adult Basic Education." The distinguishing characteristic of this subprogram is that it includes those courses intended to give students the knowledge and skills they need in order to take course work for a degree, certificate, and so forth. It should be noted that according to this definition some of the courses that institutions call adult basic education might be more appropriately classified as "community education" if

they are not preparatory in nature. Once again the focus is on course content rather than on the students taking the course. Therefore the concept matriculated students in the definition of "Supplementary Educational Services" is not a part of the new subprogram.

INSTRUCTION PROGRAM:

Eliminate Subprograms: Special Session Instruction and Extension Instruction (for credit)

Rationale for Change: It was suggested by respondents to the PCS Revision that the Special Session Instruction subprogram and the Extension Instruction (for credit) subprogram be eliminated. It was their feeling that these two subprograms represented compromises that were made in the first edition of the PCS which are inconsistent with its objective of classifying information in a program-oriented manner. They pointed out that the "program" activities carried out in these two subprograms are not distinguishable from the program activities carried out in the other "Instruction" subprograms and, therefore, they should not be given separate status. It was suggested that whereas the other subprograms in the Instruction program represent "programmatic" distinctions, Special Session Instruction and Extension Instruction are organizational distinctions which are inconsistent with the program philosophy of the PCS. While it was agreed that institutions which have an extension division or a summer school division will want to maintain those distinctions for internal purposes, it was emphasized that in the PCS, where data are classified for exchange or reporting purposes, those data should be classified in the appropriate "programmatic" subprograms in Instruction. Therefore, in the revised PCS, "special session" and "extension" activities should be classified in the appropriate Instruction subprogram on the basis of programmatic intent.

RESEARCH PROGRAM:

New Title: Research Program

Rationale for Change: In the first edition of the PCS the program used to classify research-related activities was called "Organized Research." This title has been revised so that it is now called "Research." It was felt that the word "organized" was too restrictive and tended to eliminate many activities which, while not rigidly organized, are carried out primarily to produce research outcomes. For example, it is intended that in those instances where the objective in carrying out individual or departmental research is "to produce research outcomes that may include the creation of new knowledge, the reorganization of knowledge, and the application of knowledge." Those activities should be classified in the Research program.

PUBLIC SERVICE PROGRAM:

Create Subprogram: Patient Services (3.1)

Definition: This subprogram consists of those activities that benefit patients directly through faculty physicians or indirectly through consulting, laboratory, or other services usually rendered under the auspices of a hospital or clinic. Only the clinical portions of a teaching hospital or veterinary clinic should be included in this subprogram. The instruction, research, or administrative activities that occur in a teaching hospital environment should be classified in other activity centers, such as 1.1, 2.2, or 6.3. The patient services classified under 3.1 are intended primarily for the community-at-large. Those health services specifically intended for students should be classified under Student Auxiliary Services (5.5) and those health services intended primarily for faculty and staff should be classified under Faculty and Staff Auxiliary Services (6.6).

Examples: Community Out-Reach Health Activities

Counseling Center

Dental Clinic

Public Health Center

Speech and Hearing Clinic

Teaching Hospital

Veterinary Clinic

Rationale for Change: In the first edition of the PCS there was no satisfactory category for the classification of the patient service activities of a teaching hospital or veterinary clinic. The creation of this revision subprogram sets forth the concept of a university teaching hospital as a set of programmatic activities whereby all other activities of the hospital can be classified programmatically elsewhere in the PCS (for example, all administrative activities should be classified in the PCS Institutional Support program).

This subprogram also defines patient services to include more than simply those patient services conducted in a hospital. They also include activities like speech therapy, audiology, and other patient-related services conducted by the students or staff of an institution (whether in or out of the hospital setting).

For reporting purposes the teaching hospital may in certain instances be reported as a separate entity or quasi-campus (in much the same way as would be done for the several campuses of a multi-campus institution). However, if information were needed for the institution as a whole, those activities associated with the hospital would be spread across the entire PCS.

PUBLIC SERVICE PROGRAM:

Create Subprogram: Public Broadcasting Services (3.4)

Definition: This subprogram includes those activities associated with the operation and maintenance of broadcasting services intended primarily for the public. Excluded from this category are broadcasting services that are primarily in support of the instruction program, or broadcasting activities which represent independent operations.

Examples: Radio Station

Television Station

Rationale for the Change: It was agreed that no satisfactory category existed in the first edition of the PCS for the classification of general public broadcast services and radio and television stations operated in the public interest (which constitute major operations at many institutions). Therefore a subprogram was created in the Public Service program.

The appropriate classification, however, of the institution's radio and television stations still should be based upon the primary intent of those operations. If the primary intent is to serve as a mechanism for the instruction and training of students (for example, in the Communications Department), these stations should be viewed as "Ancillary Support" activities. If, on the other hand, they are operated primarily for the benefit of the

general public, they should be classified in the Public Broadcast Services subprogram - audio/video presentations to the community, NET programs, PBS, and so forth. Audio/visual services and closed-circuit instructional television would be categorized in the Audio-Visual Services subprogram.

ACADEMIC SUPPORT PROGRAM:

Create Subprogram: Academic Personnel Development (4.8)

Definition: This subprogram includes those activities that provide the faculty with opportunities for increasing their personal and professional growth and development or that evaluate and reward their professional performance.

Examples: Exhibits

Faculty Awards

Faculty Development Programs

Instructional Evaluation

In-Service Faculty Education Programs

Professional Meetings, Seminar Attendance

Professional Publishing (journals, books, reviews)

Recitals

Retreats

Sabbatical Leave

Scholarly Faculty Activities

Rationale for Change: In the first edition of the PCS, academic personnel development activities were classified in the subprogram "Academic Administration and Personnel Development." However it was pointed out that academic personnel development activities were programmatically different from academic administration

activities. Furthermore it was agreed that sabbatical leaves and faculty development programs constituted major resource commitments at many institutions which should not be comingled with the resources committed to other activities if effective planning and management are to be conducted.

STUDENT SERVICE PROGRAM:

Create Subprogram: Student Service Administration (5.1)

Definition: This activity center contains those student service activities that cut across multiple student support subprograms or provide central administrative services to student service programs. Specifically excluded, for example, would be the Director of Counseling, who would be classified under 5.3, Counseling and Career Guidance. Also excluded is the chief administrative officer of student affairs, for example, the Vice-President or Vice-Chancellor, whose activities are more appropriately categorized under 6.1, Executive Management.

Examples: Dean of Men

Dean of Student Personnel Services

Dean of Students

Dean of Women

Director of Student Services

Rationale for Change: The first edition of the PCS does not include any categories for the classification of student service-related administrative activities that cut across multiple subprograms. Therefore this subprogram is needed to handle activities of this kind.

STUDENT SERVICE PROGRAM:

Create Subprogram: Intercollegiate Athletics (5.6)

Definition: This subprogram contains all athletic activities in which an institution participates with other colleges and universities. Included are the coaches, trainers, officiating, travel, ticket sales, advertising, and so forth necessary to maintain intercollegiate participation in that sport. The office and staff of the athletic director would be included here. Excluded are those activities that relate to intramural athletics, which should be classified under 5.3, Social and Cultural Development.

Examples: Archery

Athletic Director

Baseball

Basketball

Bobsledding

Boxing

Cross-Country

Diving

Football

Golf

Rationale for Change: It is generally agreed that intramural athletics are conducted to contribute to the student body's "social and cultural development."

However intercollegiate athletics (wherein athletic events are held among two or more competing institutions) are generally considered to have quite different program objectives. Intercollegiate athletics are often conducted as much for the benefit of groups outside the institution as they are for the student body (for example, the institution's alumni). Therefore it was agreed that there should be a separate subprogram for intercollegiate athletics (within the Student Service program) in order to classify those activities having similar program objectives together.

INSTITUTIONAL SUPPORT PROGRAM:

Create Subprogram: Student Recruitment, Admissions, and Records (6.8)

Definition: This subprogram consists of those activities conducted by an institution that relate to the recruitment of new students, the student admissions process, and the administration of student records. For proprietary institutions, this activity center includes also sales operations, advertising, and marketing as related to student recruitment.

Examples: Admissions Officers

Advertising

Certificates

Diplomas

Undergraduate and Graduate Admissions Offices

Marketing

Photo/I.D. Cards

Registrar

Sales Operations

Student Records

Student Recruitment

Transfer Credit Evaluation

Transcripts

Rationale for Change: In the first edition of the PCS, "Student Admissions and Records" was a category within the subprogram "General Administrative Services." However it was agreed that admissions and records was a major activity at all institutions deserving subprogram status in the revised PCS. Additionally, one of the primary objectives of the revision was to revise the PCS so as to improve its utility for application throughout all of postsecondary education. Two of the primary functions carried out in the proprietary sector are the use of salesmen (and therefore the payment of sales commissions), and the use of marketing/advertising. Therefore this new subprogram includes those activities related to student recruitment (which for proprietary institutions includes sales operations and marketing/advertising) as well as student admissions and records.

SCHOLARSHIPS AND FELLOWSHIPS:

Create Program: Scholarships and Fellowships (8.0)

Definition*: Scholarships (8.1) - includes those funds awarded to undergraduate students as grants-in-aid, trainee stipends, tuition and fee waivers, and prizes. Excluded from this category are work/study funds, which should be classified as costs to the department or organizational unit to which the service is rendered. Student loans are excluded also.

Examples (8.1) - Grants-In-Aid (Undergraduate)

Prizes

Trainee Stipends (Undergraduate)

Tuition/Fee Waivers

*The following criteria have been specified by the Joint Accounting Group to determine which monies should be included in the categories "Scholarships" and "Fellowships."

1. The monies must represent expenditures of the Current Funds group.
2. The institution must have fiscal control of the funds which were used to make the grant.
3. The recipients should not be formally required to render services to the institution as consideration for the grant, nor should they be expected to repay the amount of the grant to the funding source.
4. The institution must have selected the recipient of the grant. If the institution is given control of the monies, but is not allowed to select the recipient of the grant (e.g., the federal Basic Educational Opportunity Grants program), the funds should be reported in the Agency Funds group rather than in the Current Funds group.

Fellowships (8.2) - includes those funds for graduate students as outright grants-in-aid and trainee stipends. Excluded from this category are funds for which services to the institution must be rendered (for example, teaching assistants, research assistants). Student loans are excluded also.

Examples (8.2) - Grants-In-Aid (Graduate)

Trainee Stipends (Graduate)

Rationale for Change: In the first edition of the PCS there were no categories for scholarships and fellowships since they don't constitute programmatic activities. However, in using the PCS (particularly in the conduct of cost studies) it is essential that some place exist for the classification of those institutional resources consumed for scholarships and fellowships. While it was agreed that such a place should be created in the revised PCS it was suggested that since scholarships and fellowships were unique, differing from programmatic activities, they should be classified in their own separate program.

TITLE CHANGES:

While those changes described on the preceding pages constitute the major revisions to the PCS, other, less significant title changes were also made to the subprograms included in the first edition. These changes and the accompanying rationale are described below:

1. Student Auxiliary Services (5.5) - the name of the subprogram "Student Support" in the first edition was changed to "Student Auxiliary Services." This change was made to reflect the more common terminology used in postsecondary education for the activities classified in this subprogram.
2. Faculty and Staff Auxiliary Services (6.6) - the name of the subprogram "Faculty and Staff Services" in the first edition was changed to "Faculty and Staff Auxiliary Services" for the same reason that "Student Support" was retitled.
3. Public Relations and Development (6.7) - the name of the subprogram "Community Relations" in the first edition was changed to "Public Relations and Development." This change was made at the suggestion of the Association of Collegiate Public Relations Administrators (ACPRA) to more accurately describe those activities included in the subprogram.

4. Financial Aid Administration (5.4) - the name of the subprogram "Financial Aid" in the first edition was changed to "Financial Aid Administration." This change was made to clarify the fact that this subprogram includes only those administrative activities associated with financial aid and does not include the student scholarship and fellowship awards.